CONTRACT DELIVERABLE DESCRIPTION

Deliverable Number: FN01

Title/Description: Monthly Status Report

Frequency of Submission: Monthly   **Number of Copies:**   5

First Submission Due: Ten (10) calendar days after the end of the first complete calendar month of the contract.

Subsequent Submissions Due: Ten (10) calendar days after the end of the calendar month

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Government Acceptance Required: Yes

Government Response Due: Ten (10) working days after receipt

Remarks:

Format/Content Requirements and Instructions:

This report is prepared by the contractor to provide a comprehensive review and analysis of cost, schedule, and technical performance of each contract task. Status report data will be used by the PTO Program Management to: (1) evaluate task performance; (2) identify the magnitude and impact of actual and potential problem areas causing significant cost and schedule variances from plan; and (3) provide valid, timely, and auditable task status information to PTO executive management.

Application/Interrelationship:

Data reported in the Monthly Status Report will pertain to all authorized tasks. The level of detail to be reported normally will be limited to individual tasks within a Task Order. However, if individual tasks are not identified in the Task Order, the reporting will be at the Task Order level. If a problem area is indicated at the Task Order level, more detailed data will be provided at the activity level until the problem is resolved. Specific variance thresholds, if exceeded, shall require detailed analysis and explanation and will be subject to negotiation between the PTO and the contractor. Results of the negotiations will be formally specified in each Task Order issued to the contractor. If no Task Order specific variance is specified, cost variance analysis and explanation will be provided at the task level if the current month actual cost variance is more than (+/-) 10% of the planned budget unless the dollar variance is within (+/-) $2,500 of the planned budget or if the cumulative variance is more than (+/-) 10% of the planned budget unless the dollar variance is within (+/-) $10,000 of the planned budget.

FORMAT/CONTENT REQUIREMENTS AND INSTRUCTIONS (Continued)

DELIVERABLE NUMBER: FN01 page 2

Preparation Instructions:

The Monthly Status Report shall be submitted in accordance with the following format requirements:

- Section 1   Executive Summary

- Section 2-N   Active Task Order Status

    -- For each active Task Order the following will be provided:
       - Task Order Summary
       - Task Status
       - Outlook for Next Month

- Appendix A   Hours By Task and By Individual Name

- Appendix B   Financial Reports for Closed Task Orders

    -- For each closed Task Order the following will be provided:
       - Task Order Summary

- Appendix C   Semi-Annual Financial Reports for Inactive Task Orders

    -- For each inactive Task Order the following will be provided:
       - Task Order Summary

Section 1 - Executive Summary:

The contractor shall provide a brief narrative of the accomplishments, problems, and issues regarding all formally authorized tasks. This section should reflect the contractor's assessment of overall task status (cost, schedule, and technical) in relation to planned performance. Schedule performance should be discussed in terms of the key milestones associated with automated systems development and maintenance. Monthly and cumulative budget vs. actual cost and cost variance shall be provided at the total Task Order level, monthly for active Task orders, and bi-annually for inactive Task Orders.

The contractor shall report on the monthly status of the Task Order development and implementation process in accordance with the following:

- Task Orders in process (by title, budget value, and period of performance)

- Task Orders under development

    -- Title
    -- Status
    -- PTO/Contractor Point-of-Contact

FORMAT/CONTENT REQUIREMENTS AND INSTRUCTIONS (Continued)

DELIVERABLE NUMBER: FN01 page 3

- Task Orders completed during the month

    -- Title
    -- Completion Date

Sections 2-N - Task Order Status:

Cost and technical status will be reported at both a summary (Task Order) and detail (task level) for all active Task Orders.

Task Order Summary

Cost Status:

A cost summary will be provided at the Task Order level that depicts the following:

    * Current and cumulative budgeted direct labor hours by labor category

    * Current and cumulative actual direct labor hours expended on the Task Order by labor category

    * Current and cumulative variances between budgeted and actual labor hours by labor category

    * If subcontractors are used, current and cumulative budgeted and actual subcontractor labor hours (cost-shared and non-cost-shared). Subcontractor actual labor hours must reflect the current report period

    * Current and cumulative budgeted and actual costs (labor, material, other direct costs, travel, documentation, subcontractor costs)

    * Current and cumulative variances between budgeted and actual direct costs

    * Task Order budget at completion

    * Percentage of cumulative actual costs to the Task Order budget at completion

Technical Status:

Technical status will be reported in terms of the objectives established in the Task Order. The contractor shall, whenever possible, establish objective criteria for evaluating technical progress in relation to the plan for accomplishing the technical objectives of the contract.

FORMAT/CONTENT REQUIREMENTS AND INSTRUCTIONS (Continued)

DELIVERABLE NUMBER: FN01 page 4

Task Status:

Cost and Technical Status

The cost and technical status reporting provisions pertaining to Task Orders will apply to the task level. Reporting at the task level will generally constitute the lowest level of reporting. In cases where cost and schedule variances exceed established thresholds, reporting will, at the discretion of the PTO, be required at the activity level until such time as performance problems are resolved.

Variance Analysis

Detailed analysis of cost and schedule variances from plan will be required whenever variances exceed a threshold established in the Task Order. Cost variance thresholds will be expressed in terms of dollars and percent. Schedule variance thresholds will be expressed in terms of deliverables or task end-dates that are days ahead of, or behind, the schedule established in the Task Management Plan.

Variance thresholds will vary according to the size, scope, and criticality of the effort. Variance thresholds will be specified in the Task Order and will be subject to negotiation between the PTO and the contractor.

Variance analysis shall include:

   *   Nature of the variance (dollars/percentage over or under costs baseline; days ahead of or behind schedule)

   *   Reason(s) for the variance

   *   Impact on the immediate Task Order

   *   Corrective action taken

Outlook for Next Month

This section will contain a compilation of all significant activities and events to be addressed in the next Monthly Status Report. The contractor will specifically address workarounds and other planning efforts undertaken to resolve problems identified in the current month's Status Report.

Appendix A - Hours by Task and by Individual Name:

The contractor shall report for both discrete and level of effort Task Orders. The report shall include hours by Task Order, task and/or activity levels, and by individual names (including the names of subcontractors working on the task).

FORMAT/CONTENT REQUIREMENTS AND INSTRUCTIONS (Continued)

DELIVERABLE NUMBER: FN01 page 5

Mechanized Data Submissions:

The contractor shall submit cost and labor hour data via electronic media in ASCII flat files (a copy of the electronic format is attached). A listing of the file names, file size, and other pertinent data accompany the submission to expedite data processing by the PTO. Two electronic data downloads will be provided on a monthly basis. One download will reflect cost and labor hour actuals at the task level for all tasks. The second download will include actuals by WBS level 7 program codes for activities for which program codes have been assigned.

Appendix B - Financial Reports for Closed Task Orders:

Cost Status
Cost status will be reported at a summary (Task Order) level. The cost status provisions pertaining to active Task Orders will apply to the closed Task Orders.

Appendix C - Semi-Annual Financial Reports for Inactive Task Orders:

Cost Status

Cost status will be reported at a summary (Task Order) level on a semi-annual basis. The cost status provisions pertaining to active Task Orders will apply to the closed Task Orders.

Variance Analysis

Detailed analysis of cost from plan will be required on all inactive Task Orders.

Task Order *Actual Cost* Download Requirements (FN01)
June 1997

This document explains the requirements for submitting task order actual costs (hours and dollars) electronically. An example of the format is provided.

Overview

A cost download is due by the 18th of each month for the previous month. A hard copy of the monthly status report must accompany the download for data verification. The download must be submitted as a flat ASCII data file and cannot contain any special word processing or other characters. No double or single quotes (",') are to be present in the file.

Actual cost data is provided using comma separated values (CSV) format, i.e., each value in the line is separated from the others by a comma. Submit actuals only for those task orders that have actuals that month. The data can be contained in multiple files provided the files are numbered as shown below.

File Naming Convention

Each file must be named using the following convention:

code<number>.<month><year>

- The *code* prefix identifies the contractor submitting the file. Use the following convention for identifying the contractor.

    SMIT signifies Smith Technology Corporation

- The <number> identifies the sequence for groups of multiple files. This is optional if only one file is being submitted.

- The <month> identifies the calendar month for which the actuals are submitted. It must be a single character, numeric for the first nine months, and alphabetic for the last three months, of the calendar year. For example:

Month	Code
January	1
February	2
March	3
April	4
May	5
June	6
July	7
August	8
September	9
October	O (the letter O, not the number 0)
November	N
December	D

- The <year> is a two digit number identifying the calendar year for which the actuals are submitted.

For example: SMIT1.897   First of two files for August 1997, submitted by Smith
                 SMIT2.N97   Second of two files for November 1997, submitted by Smith

File Data

Each line in the file represents a single record consisting of a total of 6 fields, separated by commas, as follows:

1. Task Order   Example: 97-13.1 (include the dash)
2. Contractor Code   A complete list of contractor codes is available from your COTR. This field differentiates between prime and subcontractor efforts. A null value indicates the prime contractor; however, a comma must be provided as a place holder for the value.
3. Cost Element Code   A complete list of cost element codes is available from your COTR.
4. Current Month Actual Hours
5. Current Month Actual Dollars
6. Cumulative to Date Committed Cost

Example:

97-13.1,,01,57,4378.62,9871.00
97-23.1,SOL,02,40,3673.00,5978.00

USPTO/TPPOS Contractor Actuals Data File Requirements
May 1999

A. **Actuals are provided monthly via flat ASCII file.**

1. The file is due on the 18th of each month and contains data for the previous month.
2. The format is Comma Separated Values and cannot contain any special word processing or other characters.
3. No double or single quotes are to be present in the file.
4. Do not format dollar values with commas (,) or dollar signs ($).

B. **The following fields must be provided in the order shown:**

1. Contractor Code - Contact TPPOS, who will assign a four-character code . Some acceptable values:

   SAMPLE:

   SMIT - Smith Technology Corporation

2. Month and Year (Format MMM-YYYY)
3. Task Order Number (include the dash "-"; must use the correct number, i.e. 99-03 instead of 99-3)
4. Program Code (Only valid program codes may be used.)
5. Actual Hours
6. Actual Labor Dollars (Fully Loaded)
7. Actual Non-Labor Dollars (ODC's, Material, Services)
8. Actual FCCM Dollars
9. Actual Base Fee Dollars

Sample data is provided in Section E.

C. **If a contractor needs to re-submit a revised or corrected file, re-submission will be accepted provided the corrected file contains data for a single reporting period, e.g., September 1995, and contains all actuals for that period.**

D. **Files are named using the following convention:**

<code>_act.<month>

The <code> is an acceptable contractor code, as shown under section B above.

The <month> is a three letter code identifying the reporting month, i.e., the month identified to the data contained in the file.

For example: file smit_act.sep contains September actuals from Smith, i.e., actuals reported *against* the month of September, *not* actuals that were provided *in* the month of September.

Using this convention, even if a re-submission is required several months later, the file name always identifies *what* the file contains, not *when* the file was created.

E. **Sample Data File:**

Smit_act,MAR-99,99-01,ABCGB0,148,1327.8,1200.50,548.37,727.36
Smit_act,MAR-99,98-23,ABCGB0,227,2582.25,2218.72,792.38,976.57
Smit_act,MAR-99,99-13,ABCGA0,33,570.67,65748.87,1547.39,12438.86
Smit_act,MAR-99,99-15,ABCGA0,122,1199.4,418.22,513.29,656.98

HOURS BY TASK AND INDIVIDUAL NAME

REPORT PERIOD: DECEMBER 1991

TASK ORDER   90-8 U.S. PATENT IMAGE BACKFILE LOAD

  TASK ORDER 90-8.1   PLANNING AND TECHNICAL SUPPORT

HELLER, A.R.	150.50
JOHANSEN, H.O.	160.00
O'CONNELL, J.M.	15.00
	325.50

  TASK ORDER 90-8.2   SOFTWARE MODIFICATION/SYSTEM SUPPORT

CARLETON, S.E.	5.00
PHILLIPS, P.W.	45.00
	50.00

  TASK ORDER 90-8.3   LOAD AND INSTALL U.S. PATENT BACKFILE IMAGES

AMORY, L.T.	155.00
BAYLOR, W.B.	160.00
BISHOP, H.L.	178.00
BRENNER, M.T.	190.00
CONNER, J.A.	165.00
CLARKE, W.W.	183.00
FRANKLAIN, T.S.	151.50
HEARST, P.L.	155.00
JEFFERSON, R.T.	131.00
JEFFERY, M.R.	156.00
MARSON, W.A.	152.00
MASON, P.E.	135.00
O'BANNON, M.X.	143.00
PEARSALL, A.W.	160.00
REXHALL, S.T.	142.00
RYDER, W.F.	133.00
SANDERSON, M.M.	101.00
WHETSTONE, P.T.	132.00
	2,722.50

  TASK ORDER 90-8.4   DEVELOP RAD LOAD PLAN

HEINLEIN, R.W.	19.50
	19.50

TOTAL TASK ORDER 90-8   3,175.50

  As of 02-JAN-92:1718

SAMPLE

AUTOMATED PATENT SYSTEM
TASK ORDER SUMMARY
REPORT PERIOD: AUGUST 1995

TASK ORDER   96-XX   TASK ORDER TITLE

LABOR HOURS	Current			Cumulative-To-Date			At Completion
Category	Budget	Actual	Variance	Budget	Actual	Variance	Budget
CATEGORY A LABOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CATEGORY B LABOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CATEGORY C LABOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CATEGORY D LABOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CATEGORY E LABOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
NON-EXEMPT	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
SUBCONTRACTOR HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
GRAND TOTAL HOURS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
LABOR COST	0.00	0.00	0.00	0.00	0.00	0.00	0.00
OTHER COST							
ODCs	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TRAVEL	0.00	0.00	0.00	0.00	0.00	0.00	0.00
DOCUMENTATION	0.00	0.00	0.00	0.00	0.00	0.00	0.00
MATERIALS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
SERVICES	0.00	0.00	0.00	0.00	0.00	0.00	0.00
OTHER	0.00	0.00	0.00	0.00	0.00	0.00	0.00
SUBTOTAL OTHER COSTS	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL TASK ORDER	0.00	0.00	0.00	0.00	0.00	0.00	0.00
			0.00%			0.00%	

Percentage of Budget Used to Data: 0.00%

SAMPLE

PTO Monthly Status Report Ending December 31, 1991   Page B-1

APPENDIX B

EXPLANATION OF THE MONTHLY STATUS REPORT BUDGET BASELINE

The December Monthly Status Report budget baseline has been updated to include one contract modification. A summary of the current budget baseline updates follows:

- The budget baseline for Task Order 92-1 has been updated to incorporate UNIX Support per Contract Modification 116, dated November 27, 1991

- The budget baseline for Task Order 92-3 has been updated to incorporate Fujitsu Tape Drive Maintenance per Contract Modification 116, dated November 27, 1991

- The budget baseline for Task Order 92-5 has been revised t delete the disapproved PCs per Contract Modification 116, dated November 27, 1991

Exhibit B-1 documents the revised budget baseline by citing the source budget document(s), listing both the original proposed budget and the Monthly Status Report budget for each Task Order, and identifying the reasons for any differences between the two budgets.

Normally a Task Order is added or modified in the budget baseline upon issuance of a new Task order or a formal contract modification to an existing Task Order. Handling of some special cases is described in footnotes (3), (6), (7), (10), (13), (14), (52), (54), and (58) that follow.

The following notes apply to Exhibit B-1:

(1)   The Monthly Status Report budget baselines for Task Orders issued in GFY89 were calculated using forward pricing rates current at the time of submission. The proposal budgets were calculated at earlier rates. The difference between the effective rates when the proposal was submitted and the current rates at the time that the budget baselines were calculated results in a small difference in burdened cost between the baseline and the proposals.

(2)   The Monthly Status Report budget baseline is calculated in Artemis which allows only three decimal place accuracy. Some budget submissions were calculated in LOTUS using four decimal places. There is a difference of .0004 in the rate used to calculate escalation beginning in April 1990.

(3)   These amounts reflect changes that were submitted in the respective Task Management Plans.

(4)   This amount represents changes to the budget baseline per Contract Modification No. 73 (issued March 27, 1989) for space to house the Maintenance and Technical Support Facility. Burdened costs were added retroactively from March 1989 through September 1989.

(5)   This amount represents changes to the budget baseline per Contract Modification No. 75 (issued May 10, 1989) for a 60-month LTOP of 6 Sony Library Storage Units. Burdened costs were added to the July 1989 through September 1989 budgets. A lump payment for the 7 months from January 1989 through July 1989 is budgeted in July. Single-month payments are budgeted in August and September. The balance of the burdened costs provided in Contract Modification No. 75 represents 4 months of payments prior to January 1989 to the Phase II contracts.

SAMPLE

December 23, 1991

BUDGET BASELINE SUMMARY
ACTIVE TASK ORDERS

Task Order	DESCRIPTION	TOTAL PROPOSED BUDGET	MONTHLY STATUS REPORT BUDGET	ADJUSTMENT AMOUNT	REMARKS
91-14	TEXT SEARCH	000,000 (***)	000,000	(0,000)	Reprice using rates - PTO ltr 7/20/90 (81)(26)
91-15	BASELINE DELIVERY 1.7	0,000,000 (***)	0,000,000	(0,000)	Reprice using rates - PTO ltr 7/20/90 (81)(26)
91-16	REENGINEERING FOR DEPLOYMENT	000,000 (***)	000,000	0	
91-17	BASELINE DEVELOPMENT	000,000 (***)	000,000	0	
92-1	PROGRAM MANAGEMENT	0,000,000 (***)	0,000,000	0,000	Add H/W Maintenance Support - Modification 112 (23)(91)
92-2	SYSTEM-WIDE DEVELOPMENT	0,000,000 (***)	0,000,000	0	
92-3	OPERATIONS AND MAINTENANCE	0,000,000 (***)	0,000,000	00,000	Add Samsung Tape Drive Main - Modification 112 (23)(91)

*** Issued Task Order without fee and FCCOM

SAMPLE - **Contract Task Order Accounting Cost Element Codes**
September 16, 1998

These codes are used to identify hours and/or dollars as appropriate.

<u>Labor Codes</u>

      *   01 Program Manager
           02 Project Manager
           03 Principal Transition Project Manager

           04 Principal Software Engineer
      *   05 Senior Software Engineer
      *   06 Junior Software Engineer

      *   07 Senior Communications Engineer
      *   08 Operations Research Analyst

      *   09 Principal Systems Engineer
      *   10 Senior Systems Engineer

           11 Principal Information Engineer
           12 Principal Business Process Engineer
           13 Senior Info Engineer /Bus Pro Engineer
           14 Junior Info Engineer /Bus Pro Engineer

           15 Database Specialist
           16 Senior Info Systems Specialist
           17 Junior Info Systems Specialist

           18 Principal Systems Analyst/ Programmer
      *   19 Senior Systems Analyst/ Programmer
      *   20 Junior Systems Analyst/ Programmer
           21 Systems Programmer

      *   22 Subject Matter Specialist
           23 Library Scientist or Computer Specialist
      *   24 Technical Writer/Editor
      *   25 Administration and Clerical Staff

           26 Senior Business Support Admin
           27 Junior Business Support Admin

      *   50 Principal Systems Architect

      *   55 Principal IT Security Engineer
      *   56 Senior IT Security Engineer

      *   60 Principal Network Engineer
      *   61 Senior Network Engineer
      *   62 Junior Network Engineer